

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Lijun Sun, Keizo Koya, Zhi-Qiang Xia, Teresa Przewloka, Shijie Zhang and Mitsunori Ono

Application No.: 10/660,358                      Group: 1614  
Filed: September 11, 2003                      Examiner: Not Assigned  
Confirmation No.: 5512  
For: Synthesis of Indolizines

CERTIFICATE OF MAILING OR TRANSMISSION	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or is being facsimile transmitted to the United States Patent and Trademark Office on:	
4-8-04	<i>Sharon G. Carlisle</i>
Date	Signature
Sharon G. Carlisle	
Typed or printed name of person signing certificate	

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):  
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
  - ☒ Copies of cited references AL-AP and AR are enclosed.
    - ☒ Since this application was filed after June 30, 2003, copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
  - ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
  - ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- ☒ The "concise explanation" requirement (non-English references) for reference AP under 37 CFR 1.98(a)(3) is satisfied by:
  - ☐ the explanation provided on the attached sheet.
  - ☐ the explanation provided in the Specification.
  - ☐ submission of the enclosed International Search Report.
  - ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
  - ☒ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_  
Examiner

\_\_\_\_\_  
Date

☐ A copy of each above-cited application, including the current claims, is enclosed.

☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.

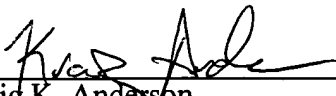
☐ Please charge Deposit Account 08-0380 in the amount of \$[ ]. A copy of this Statement is enclosed.

☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By

  
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Concord, MA 01742-9133

Dated:

Apr. 18, 2001

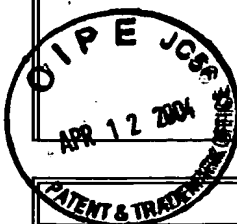
PTO-1449 REPRODUCED

ATTORNEY DOCKET NO.  
3211.1007-001APPLICATION NO.  
10/660,358INFORMATION DISCLOSURE CITATION  
IN AN APPLICATIONFIRST NAMED INVENTOR  
Lijun SunFILING DATE  
September 11, 2003

April 8, 2004

EXAMINER  
Not AssignedCONFIRMATION NO.  
5512GROUP  
1614

(Use several sheets if necessary)



## U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AA	6,362,191 B1	03-26-2002	Mills
	AB	US 2003/0153759 A1	08-14-2003	Koya, <i>et al.</i>
	AC			
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EXAMINER

DATE CONSIDERED

PTO-1449 REPRODUCED  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <b>April 8, 2004</b>  (Use several sheets if necessary)	ATTORNEY DOCKET NO. <b>3211.1007-001</b>	APPLICATION NO. <b>10/660,358</b>	
	FIRST NAMED INVENTOR <b>Lijun Sun</b>		FILING DATE <b>September 11, 2003</b>
	EXAMINER <b>Not Assigned</b>	CONFIRMATION NO. <b>5512</b>	GROUP <b>1614</b>

FOREIGN PATENT DOCUMENTS						
		DOCUMENT NUMBER Country Code-Number-Kind Code (if known)	DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT	TRANSLATION YES NO	
	AL	WO 96/03383 A1 /	02-08-1996	Eli Lilly and Company and Shionogi & Co., Ltd.		
	AM	WO 98/47507 /	10-29-1998	Shionogi & Co., Ltd.		
	AN	WO 99/24033 /	05-20-1999	Shionogi & Co., Ltd.		
	AO	WO 99/51605 /	10-14-1999	Shionogi & Co., Ltd.		
	AP	WO 00/21563 /	04-20-2000	Shionogi & Co., Ltd.	X (abstract only)	
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EXAMINER	DATE CONSIDERED
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PTO-1449 REPRODUCED  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <b>April 8, 2004</b>  (Use several sheets if necessary)	ATTORNEY DOCKET NO. 3211.1007-001		APPLICATION NO. 10/660,358	
	FIRST NAMED INVENTOR Lijun Sun		FILING DATE September 11, 2003	
	EXAMINER Not Assigned		CONFIRMATION NO. 5512	GROUP 1614

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	AR	Copar, A., <i>et al.</i> , "A New Approach for the Synthesis of Fused Pyrroles. The Synthesis of Acyl Substituted Pyrrolo[1,2-x]azines," <i>J. Heterocyclic Chem.</i> 30:1577-1579 (1993). ✓
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EXAMINER	DATE CONSIDERED
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